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#4

Attorney's Docket No. M01015/70034 TJO

Applicant: Cynthia C. Bamdad et al.  
Serial No.: 09/835,099  
Filed: April 12, 2001  
For: TREATMENT OF NEURODEGENERATIVE DISEASE

**STATEMENT CLAIMING SMALL ENTITY STATUS  
SMALL BUSINESS CONCERN**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: Minerva Biotechnologies Corporation  
ADDRESS OF ORGANIZATION: 142 Church Street  
Newton, MA 02458

The small business concern identified below qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern with regard to the above-identified invention, entitled TREATMENT OF NEURODEGENERATIVE DISEASE, by Cynthia C. Bamdad et al., described in U.S. Patent Application Serial No. 09/835,099, filed 04/12/01.

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**LIST OF OTHER CONCERNS HAVING RIGHTS IN THE INVENTION**

If the rights held by the small business or nonprofit organization or individual inventor are not exclusive, each additional individual concern or organization having rights to the invention is listed below. **(If your rights are exclusive, then no such person, concern or organization should be selected).**

- ☒ no such person, concern or organization  
☐ persons, concerns or organizations listed below\*

\*NOTE: Separate statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities.

FULL NAME  
ADDRESS

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NON-PROFIT ORGANIZATION

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The concern or inventor identified above acknowledges the duty to notify the U.S. PTO of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

PRINTED NAME OF PERSON SIGNING:  
TITLE OF PERSON (if other than owner):  
ADDRESS OF PERSON SIGNING:

Cynthia C. Bamdad  
President  
142 Church Street  
Newton, MA 02458

  
Signature

  
Date



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Attorney Docket No. M01015/70034 TJO

### DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

#### TREATMENT OF NEURODEGENERATIVE DISEASE

the specification of which is attached hereto unless the following is checked:

☒ [X] was filed on April 12, 2001, as Application Serial No. 09/835,099.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) or §365(b) of any foreign application(s) for patent or inventor's certificate, or section 365(a) of any PCT International application designating at least one country other than the United States listed below and have also identified below any foreign application for patent or inventor's certificate or PCT International application having a filing date before that of the application on which priority is claimed:

Prior Foreign PCT International Application(s) and any priority claims under 35 U.S.C. §§119 and 365(a),(b):

			Priority Claimed
			[ ] [ ]
(Number)	(Country-if PCT, so indicate)	(DD/MM/YY Filed)	YES NO

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional application(s) listed below:

<u>60/196,497</u> (Application Number)	<u>04/12/00</u> (filing date)
<u>60/214,221</u> (Application Number)	<u>06/23/00</u> (filing date)
<u>60/248,890</u> (Application Number)	<u>11/15/00</u> (filing date)

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s), or §365(c) of any PCT International application(s) designating the United States of America listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the

manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

(Application No.)	(filing date)	(status-patented, pending, abandoned)
(Application No.)	(filing date)	(status-patented, pending, abandoned)

PCT International Applications designating the United States:

(PCT Appl. No.)	(U.S. Ser. No.)	(PCT filing date)	(status-patented, pending, abandoned)
(PCT Appl. No.)	(U.S. Ser. No.)	(PCT filing date)	(status-patented, pending, abandoned)

I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

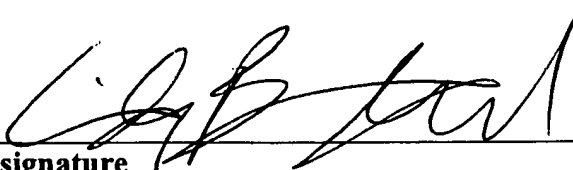
Robert M. Abrahamsen	40,886	Jason M. Honeyman	31,624	Stanley Sacks	19,900
John N. Anastasi	37,765	Robert E. Hunt	39,231	Christopher S. Schultz	37,929
Gary S. Engelson	35,128	Ronald J. Kransdorf	20,004	Alan B. Sherr	42,147
Neil P. Ferraro	39,188	Peter C. Lando	34,654	Robert A. Skrivanek, Jr.	41,316
Thomas G. Field	45,596	Helen C. Lockhart	39,248	Paul D. Sorkin	39,039
Stephen R. Finch	42,534	Matthew B. Lowrie	38,228	Alan W. Steele	45,128
Edward R. Gates	31,616	William R. McClellan	29,409	Mark Steinberg	40,829
Richard F. Giunta	36,149	Daniel P. McLoughlin	46,066	Joseph Teja, Jr.	45,157
Peter J. Gordon	35,164	James H. Morris	34,681	John R. Van Amsterdam	40,212
William G. Gosz	27,787	M. Lawrence Oliverio	30,915	Michael G. Verga	39,410
Lawrence M. Green	29,384	Timothy J. Oyer	36,628	Robert H. Walat	46,324
George L. Greenfield	17,756	Edward F. Perlman	28,105	Lisa E. Winsor	44,405
James M. Hanifin, Jr.	39,213	Michael J. Pomianek	46,190	David Wolf	17,528
Therese A. Hendricks	30,389	Elizabeth R. Plumer	36,637	Douglas R. Wolf	36,971
Steven J. Henry	27,900	Randy J. Pritzker	35,986	Robert E. Rigby, Jr.	36,904
Edward J. Russavage	43,069				

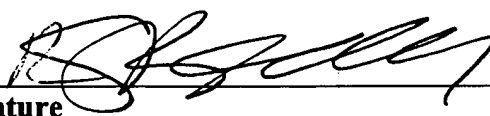
Address all telephone calls to at telephone no. (617) 720-3500. Address all correspondence to:

Timothy J. Oyer  
c/o Wolf, Greenfield & Sacks, P.C.,  
Federal Reserve Plaza  
600 Atlantic Avenue  
Boston, MA 02210-2211

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these

statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

  
\_\_\_\_\_  
**Inventor's signature** **Date**  
December 28, 2001  
Full name first inventor: Cynthia C. Bamdad  
Citizenship: United States  
Residence: 142 Church Street, Newton, MA, 02458  
Post Office Address: Same as above

  
\_\_\_\_\_  
**Inventor's signature** **Date**  
Jan. 5 2002  
Full name second inventor: R. Shoshana Bamdad  
Citizenship: United States  
Residence: 142 Church Street, Newton, MA, 02458  
Post Office Address: Same as above